

Docket No.: 048897-0025

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

David T. ADAMS, et al.

Application No.: 09/787,294

Filed: March 15, 2001

For: TECHNIQUES FOR COMPUTER ASSISTED TRADING IN A CASH MARKET FOR  
COMMODITIES



Customer Number: 20277

Confirmation Number: 7577

Group Art Unit: 3693

Examiner: Weisberger, Richard C

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached form PTO-1449. It is respectfully requested that the documents be expressly considered during the prosecution of this application, and that the documents be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

**CERTIFICATION PARAGRAPH**

The undersigned certifies that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement as described in 37 CFR 1.97(e)(1).

The references were cited in a Canadian Office Action and their relevance is discussed therein. A copy of the Canadian Office Action, is attached for the Examiner's information.

Please note that the reference **US 5,794,207** has been previously cited in an Information Disclosure Statement on October 18, 2006.

Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 500417 and please credit any excess fees to such deposit account.

Respectfully submitted,

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